



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date <b>November 2, 1977</b>	1. Agency Address <b>Office of the Comptroller General Insurance Division, Regulatory Laws</b>	Application Number <b>77-389</b>	Date Received <b>NOV 23 1977</b>
Application Number		Date Completed <b>JAN 9 1978</b>	Telephone Number <b>656-2074</b>
2. Person to Contact <b>David S. Bordner</b>		Working Title <b>Assistant Deputy Insurance Commissioner</b>	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest _____ Latest _____ <b>Present</b>	5. Records Series Title (followed by title used in office, if different) <b>NON-ADMITTED SURPLUS LINES INSURANCE CARRIERS ANNUAL STATEMENTS</b>		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?  <b>The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and Mobile Home Sales regulations.</b>  <b>The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints.</b>			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to: <b>reviewing, appraising, and comparing annual statements for Non-Admitted Surplus Lines Insurance Carriers to determine financial stability.</b>  Included are: <b>Annual Statements for Non-Admitted Surplus Lines Carriers</b>          File is arranged: <b>alphabetically by name of Surplus Lines Carrier</b>			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <b>Daily</b> ; Seven to twelve months old <b>Weekly</b> ; Thirteen to twenty-four months old <b>Monthly</b> ; twenty-five months and older <b>Periodically</b>			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) <b>Hanging Files 4'</b>			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 4 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years.   |

Attach copy or excerpt of laws or regulations. Explain administrative need. There are currently fifty foreign unauthorized non-admitted surplus lines insurance companies doing business in Georgia. It is imperative that their annual financial statements be maintained in order to facilitate timely review, appraisal and comparison with current statements. The availability of these statements insures that the companies' financial history can be quickly traced and analyzed.

# 12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 4 \_\_\_\_\_ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>[Signature]</i>	11-3-77	<i>[Signature]</i>	11-23-77
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	1-7-78
		Secretary of State/Designee	1-5-78
		Attorney General/Designee	1-9-78